

DEPARTMENT OF TRANSPORTATION

CIVIL RIGHTS PROGRAM - MS 79
1820 ALHAMBRA BOULEVARD
SACRAMENTO, CALIFORNIA 95816
(916) 227-9599



Dear Contractor:

Thank you for your interest in participating in the State of California Disadvantaged Business Enterprise (DBE), Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) program.

The purpose of the program is to increase the level of participation of disadvantaged, minority, and women owned businesses in all of the State and Federal contracting activities. Pursuant to Federal and State regulations, to participate in our program, qualifying firms must first be certified as a DBE, MBE, and/or WBE by the Caltrans Civil Rights Program. If you wish to be considered for State and/or Federal certification, please complete the attached DBE/MBE/WBE application and the Personal Net Worth Statement/Affidavit. Firms interested in certification as a Disabled Veteran Business Enterprise (DVBE) should contact the Department of General Services, Office of Small Business Certification and Resources (OSBCR) (916) 322-5060.

In order to avoid unnecessary delays, please complete all portions of the application and the attached Personal Net Worth Statement/Affidavit. Indicate non-applicable items by using "N/A". Copies of documents requested in the questionnaire are required and must be submitted. Additional documentation may be requested if it is considered necessary to make a certification determination. Incomplete applications, or any without the required documents, will not be evaluated until such documents are submitted.

Only small business concerns as defined by the United States Small Business Administration which are owned and controlled by one or more socially and economically disadvantaged individuals, can be certified as a DBE. Owned and controlled means:

- At least 51 percent of the small business concern is owned by one or more socially and economically disadvantaged individuals; and
- Whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

An MBE is a small business owned and controlled by one or more minorities. Owned and controlled means:

- At least 51 percent of the small business concern is owned by one or more minorities or, in the case of a publicly owned business, at least 51 percent of all issued stock is owned by one or more minorities; and
- Whose management and daily business operations are controlled by one or more such individuals.

An WBE is a small business owned and controlled by one or more women. Owned and controlled means that:

- At least 51 percent of the small business concern is owned by one or more women; and
- Whose management and daily business operations are controlled by one or more women who own it.

Please mail the completed DBE/MBE/WBE application and the Personal Net Worth Statement/Affidavit to:

Caltrans, Civil Rights Program - MS 79
1820 Alhambra Boulevard
Sacramento, CA 95816

We suggest that you retain a copy of the completed applications for future reference.

We have enclosed an instruction booklet to aid you in completing your application.

This application is to be used solely to make a determination regarding the validity of the DBE, MBE, or WBE status of your firm. Please be aware that the information you submit may be shared with Federal authorities and/or other organizations whose legal authority provides access to this information. In addition, members of the public may also request access to any information which is not protected by the Information Practices Act of 1977.

If you have any questions, please contact the DBE Certification Unit at (916) 227-9599.

Sincerely,

ALGERINE McCRAY
Deputy Director
Civil Rights Program

PERSONAL INFORMATION NOTICE

Pursuant to the Federal Privacy Act (P.L. 93-579) and the Information Practices Act of 1977 (Civil Code Sections 1798, et seq.), notice is hereby given for the request of personal information by this form. The requested information is voluntary. The principle purpose of the voluntary information is to facilitate the processing of this form. The failure to provide all or any part of the requested information may delay processing of this form. No disclosure of personal information will be made unless permissible under Article 6, Section 1798.24 of the IPA of 1977. Each individual has the right upon request and proper identification, to inspect all personal information in any record maintained on the individual by an identifying particular. Direct inquiries on information maintenance to your IPA Officer.

* FAILURE TO INCLUDE THE FEDERAL EMPLOYER NUMBER MAY DELAY THE CERTIFICATION PROCESS. PROVIDING THE SOCIAL SECURITY ACCOUNT NUMBER IS VOLUNTARY IN ACCORDANCE WITH THE PRIVACY ACT OF 1974 (PL 93-579).

1. PLEASE PROVIDE YOUR TAX ID NUMBERS	FEDERAL EMPLOYER ID NUMBER*:	SOCIAL SECURITY NUMBER*:				
2. NAME OF FIRM						
PHYSICAL ADDRESS	CITY	STATE	ZIP			
MAILING ADDRESS	CITY	STATE	ZIP			
3. MAJORITY OWNER(S) NAME						
4. BUSINESS PHONE NUMBER (LIST ONLY ONE)		5. FAX NUMBER				
6. IS THE BUSINESS STREET ADDRESS OR THE BUSINESS PHONE NUMBER THE SAME AS THE RESIDENCE ADDRESS OR PHONE NUMBER?		YES	NO	IF YES, PLEASE EXPLAIN IN ITEM 32 OR ATTACH AN ADDITIONAL SHEET		
7. DOING BUSINESS AS (IF CERTIFIED THIS NAME WILL APPEAR IN THE DBE/MBE/WBE LISTING)						
8. CONTROLLING INTEREST (CHECK APPROPRIATE BOXES)						
a. GROUP MEMBERSHIP						
ASIAN-PACIFIC		Macao	India	Portugal		
Burma (Mayanmar)	Malaysia	Maldives Islands	Puerto Rico	b. U.S. CITIZEN		
Brunei	Northern Marianas Islands	Nepal	Spain	YES	NO	
Cambodia (Kampuchea)	Nauru	Pakistan	NATIVE AMERICANS	c. PERMANENT RESIDENT		
China	Philippines	Sri Lanka	Aleuts	YES		NO
Federated States of Micronesia	Samoa	BLACK AMERICANS	American Indians	YES		NO
Fiji	Taiwan	CAUCASIANS	Eskimos	d. GENDER		
Guam	Thailand	HISPANIC AMERICANS (Regardless of Race)	Native Hawaiians	MALE		FEMALE
Hong Kong	Tonga	Cuba	SOCIALLY AND ECONOMICALLY DISADVANTAGED INDIVIDUALS			
Indonesia	U.S. Trust Territories of the Pacific Islands (Republic of Palau)	OTHER	WOMEN	DOCUMENTED EVIDENCE MUST BE SUBMITTED TO SUPPORT EACH OWNERS CLAIM OF MINORITY OR DISADVANTAGED STATUS.		
Japan	Vietnam	Central or South America				
Juvalu	ASIAN-SUBCONTINENT AMERICANS	Dominican Republic				
Kirbati	Bangladesh	Mexico				
Korea	Bhutan					
Laos						
9. TYPE OF OWNERSHIP (CHECK ONE)			10. IS YOUR FIRM REGISTERED AS A SMALL BUSINESS BY THE SMALL BUSINESS ADMINISTRATION (SBA) UNDER SECTION 8(A) OF THE SMALL BUSINESS ACT?			
SOLE PROPRIETOR	DATE BUSINESS STARTED		YES	NO	IF YES, ATTACH DOCUMENTATION	
CORPORATION	DATE INCORPORATED	STATE				
PARTNERSHIP	DATE OF AGREEMENT		SBA CERTIFICATION EXPIRATION DATE:			
LIMITED LIABILITY CO.						
11. NATURE OF THIS FIRM'S BUSINESS						

DISADVANTAGED, MINORITY AND WOMEN BUSINESS ENTERPRISES APPLICATION**

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12. ATTACH COPIES OF THE FIRM'S CURRENT BUSINESS, CONTRACTOR'S LICENSE AND PROFESSIONAL CERTIFICATES; AND ANY OTHER REQUIRED OR PERTINENT LICENSES AND PERMITS. FOR EACH LICENSE/PERMIT ATTACHED INDICATE:

NAME OF LICENSE QUALIFIER	ISSUED BY	LICENSE TYPE	LICENSE #	EXPIRATION DATE

IF THE QUALIFYING INDIVIDUAL IS NOT ONE OF THE MINORITY OR WOMEN OWNERS LISTED IN ITEM 3, EXPLAIN IN ITEM 32

13. MANAGEMENT - INDICATE CONTROL OF FIRM IN THE FOLLOWING AREAS:

	NAME	SOCIAL SECURITY NUMBER*	TITLE	GROUP MEMBERSHIP	GENDER (CIRCLE)
a. FINANCIAL DECISIONS					M / F
b. ESTIMATING					M / F
c. MARKETING/SALES					M / F
d. HIRE/FIRE MANAGEMENT					M / F
e. PURCHASING OF MAJOR EQUIPMENT/SUPPLIES					M / F
f. SUPERVISION OF FIELD OPERATIONS					M / F
g. JOBS THE COMPANY WILL UNDERTAKE					M / F

14. SOLE PROPRIETOR

NAME	SOCIAL SECURITY NUMBER*	GROUP MEMBERSHIP	GENDER M / F	YEARS OWNED
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15. OWNERSHIP BREAKDOWN (Partnerships & Corporations - Attach additional pages if needed)

NAME	SOCIAL SECURITY NUMBER*	OWNERSHIP %	GROUP MEMBERSHIP	GENDER (CIRCLE)	TOTAL COST	DATE OF PURCHASE	NO. OF SHARES
				M / F			
				M / F			
				M / F			
				M / F			
TOTAL NUMBER OF SHARES:	ISSUED	OUTSTANDING					

IF YOUR FIRM IS OWNED IN FULL OR IN PART BY ANOTHER COMPANY, LIST ON A SEPARATE SHEET THAT COMPANY'S SHAREHOLDERS TO INCLUDE PERCENTAGE OF OWNERSHIP INTEREST, AND THE NAMES AND ADDRESSES OF DIRECTORS AND OFFICERS. IF MINORITIES, SO INDICATE.

16. OFFICERS OF THE CORPORATION (list the names and use additional sheets if needed)

	NAME	SOCIAL SECURITY NUMBER*	GROUP MEMBERSHIP	GENDER (CIRCLE)	DATE ELECTED / APPOINTED
PRESIDENT				M / F	
VICE PRESIDENT				M / F	
SECRETARY				M / F	
TREASURER				M / F	
OTHER				M / F	

17. IDENTIFY ANY MANAGEMENT OFFICIAL OR OWNER (ITEM 3, 12, 13, 14, 15) WHO IS, OR WHO HAS BEEN, WITHIN THE LAST THREE YEARS, AN OWNER, MANAGER, OR EMPLOYEE OF ANOTHER FIRM THAT HAS AN OWNERSHIP INTEREST OR A PRESENT BUSINESS RELATIONSHIP WITH THE FIRM. PRESENT BUSINESS RELATIONSHIPS INCLUDE SHARED SPACE, EMPLOYEES, EQUIPMENT, OR FINANCING. EXPLAIN ANY SUCH RELATIONSHIPS IN ITEM 32 OR ATTACH AN ADDITIONAL SHEET.

18. CURRENT BOARD OF DIRECTORS

NAME	SOCIAL SECURITY NUMBER*	GROUP MEMBERSHIP	GENDER (CIRCLE)	DATES OF SERVICE	HOME ADDRESS (Number, Street, City, State, Zip)
			M / F		
			M / F		
			M / F		
			M / F		

IF THE BOARD OF DIRECTORS HAS CHANGED WITHIN THE LAST THREE (3) YEARS, LIST THEIR NAMES, GROUP MEMBERSHIP AND DATE ELECTED IN ITEM 32 OR ATTACH AN ADDITIONAL

19. WHO NEGOTIATES AND SIGNS FOR SURETY BONDS AND WHO SIGNS FOR INSURANCE AND PAYROLL?

	TITLE	NAME
A. SURETY AND/OR PERFORMANCE BONDS		
B. INSURANCE		
C. PAYROLL		

20. PLEASE PROVIDE THIS FIRM'S EMPLOYEE INFORMATION FOR THE PAST CALENDAR YEAR

a. WERE ANY OF THE EMPLOYEES ON ANOTHER CONTRACTOR'S PAYROLL CONCURRENT WITH EMPLOYMENT WITH THIS FIRM?	YES	NO	IF YES, PLEASE EXPLAIN IN ITEM 32 OR ATTACH AN ADDITIONAL SHEET
b. CURRENT NUMBER OF EMPLOYEES ON PAYROLL	FULL TIME:		PART TIME:
c. ARE EMPLOYER PAYROLL REPORTS BEING FILED WITH STATE AND FEDERAL AGENCIES?	YES	NO	IF NO, PLEASE EXPLAIN IN ITEM 33 OR ATTACH AN ADDITIONAL SHEET

21. DOES YOUR COMPANY OWN EQUIPMENT?	YES	NO	IF YES, IS THE EQUIPMENT LISTED IN YOUR POSSESSION?	YES	NO
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22. INDICATE THIS FIRM'S GROSS RECEIPTS FOR EACH OF THE LAST THREE (3) YEARS

YEAR ENDING DATE	GROSS RECEIPTS
CURRENT YEAR	\$
LAST YEAR	\$
PREVIOUS YEAR	\$

23. LIST ALL SOURCES, AMOUNTS OF MONEY LOANED TO THE CORPORATION AND THEIR UNPAID BALANCES (USE ADDITIONAL SHEETS IF NEEDED)

SOURCE	AMOUNT	UNPAID BALANCE	DATE DUE	REASON

24. IDENTIFY YOUR CURRENT BONDING COMPANY AND BONDING LIMIT

BONDING COMPANY			BONDING LIMIT	
			\$	
ADDRESS OF BONDING COMPANY				
Number, Street		City	State	Zip Code

25. a. HAS THE FIRM EVER BEEN DENIED CERTIFICATION AS A DISADVANTAGED/ MINORITY/WOMAN BUSINESS ENTERPRISE BY ANY GOVERNMENT AGENCY?	b. HAVE ANY OF THE INDIVIDUALS LISTED IN ITEMS 3, 13, 14, AND 15 BEEN INVOLVED WITH A FIRM THAT HAS BEEN DENIED CERTIFICATION AS A DISADVANTAGED/MINORITY/WOMAN BUSINESS ENTERPRISE BY ANY OTHER GOVERNMENT AGENCY?
YES NO	YES NO

IF THE ANSWER TO a. OR b. IS YES, EXPLAIN IN ITEM 32 OR ATTACH AN ADDITIONAL SHEET

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26. IS THE FIRM CURRENTLY CERTIFIED WITH OTHER PUBLIC AGENCIES?

YES - ATTACH COPY OF CERTIFICATION NO

CERTIFYING AGENCY

ARE YOU CURRENTLY CERTIFIED IN YOUR HOME STATE?

YES - ATTACH COPY OF CERTIFICATE AND ON-SITE REPORT NO

PHONE NO.

INDICATE EACH DOCUMENT SUBMITTED WITH A CHECK MARK27. THE FOLLOWING DOCUMENTS AND ANY AMENDMENTS ARE REQUIRED BY ALL COMPANIES:

FOR EXPLANATIONS OF EACH DOCUMENT, PLEASE REFER TO THE ENCLOSED INSTRUCTION SHEETS.

YOU MUST SUBMIT ALL DOCUMENTATION APPLICABLE TO YOUR FIRM. IF NOT APPLICABLE, PLEASE EXPLAIN IN ITEM 33 OR ON A SEPARATE SHEET. FAILURE TO PROVIDE APPLICABLE INFORMATION WILL RESULT IN CLOSURE OF THE FILE.

- (1) PERSONAL NET WORTH STATEMENT / AFFIDAVIT.
- (2) FEDERAL TAX FORM (1040 OR 1065-K1 OR 1120S AND 4562) AND ALL SCHEDULES (MUST BE SIGNED BY APPLICANT) EACH PRINCIPAL MUST ALSO SUBMIT PERSONAL TAX FORMS.
- (3) COPIES OF PROPOSALS OR CONTRACTS.
- (4) BANK SIGNATURE CARD OR STATEMENT FROM BANK INDICATING WHO IS AUTHORIZED TO SIGN ON FIRMS ACCOUNT.
- (5) RESUME OF ALL PRINCIPALS, OWNERS, AND PARTNERS SHOWING EDUCATION, TRAINING AND EMPLOYMENT WITH DATES.
- (6) CURRENT DUTY STATEMENT OF DAY TO DAY ACTIVITIES (ALL PRINCIPALS, OWNERS, AND PARTNERS) OF KEY EMPLOYEES.
- (7) EQUIPMENT RENTAL, LEASE AND/OR PURCHASE AGREEMENTS AND A LIST OF MAJOR EQUIPMENT OWNED.
- (8) PROPERTY PURCHASE OR LEASE AGREEMENTS.
- (9) PROOF OF CAPITALIZATION.
- (10) COPIES OF QUARTERLY WAGE AND WITHHOLDING REPORTS (DE-6s).
- (11) ALL APPLICABLE LICENSE(S) OR PERMITS.
- (12) IF APPLICABLE, COPIES OF ALL MANAGEMENT SERVICE AGREEMENTS, AND THIRD PARTY AGREEMENTS.
- (13) COMPLETE COPY OF ANY EXISTING TRUSTS.
- (14) FICTITIOUS BUSINESS NAME STATEMENT.
- (15) EXPLAIN ANY RELATIONSHIPS BETWEEN PRINCIPALS, OWNERS, ETC.

28. THE FOLLOWING DOCUMENTS ARE REQUIRED FOR THE FOLLOWING BUSINESS TYPES:

PARTNERSHIPS

- (1) PARTNERSHIP AGREEMENTS.
- (2) BYLAWS AND ALL AMENDMENTS.
- (3) MINUTES OF PARTNERSHIP MEETINGS.

CORPORATION

- (1) CURRENT FINANCIAL STATEMENT PREPARED BY INDEPENDENT CPA OR ACCOUNTANT.
- (2) ARTICLES OF INCORPORATION AND AMENDMENTS.
- (3) BYLAWS AND ALL AMENDMENTS.
- (4) COPIES OF ALL STOCK CERTIFICATES (NO SAMPLES), STOCK TRANSFER LEDGERS, PROOF OF STOCK PURCHASE.
- (5) IF A FOREIGN CORPORATION, COPY OF AUTHORITY TO DO BUSINESS IN CALIFORNIA.
- (6) ALL MINUTES OF THE BOARD OF DIRECTOR'S MEETINGS FOR THE LAST THREE (3) YEARS AND THE FIRST ORGANIZATIONAL MEETING MINUTES.
- (7) STATEMENT BY DOMESTIC STOCK CORPORATION.

LIMITED LIABILITY COMPANY

- (1) ALL APPLICABLE FEDERAL AND STATE TAXES AND CORPORATE OR PARTNERSHIP DOCUMENTS.

29. TRUCKER/TRUCK BROKER

- (1) DRIVER'S LICENSE
- (2) DEPARTMENT OF MOTOR VEHICLE REGISTRATION.
- (3) EQUIPMENT LIST.
- (4) DMV PERMIT(S).
- (5) PUBLIC LIABILITY AND PROPERTY DAMAGE INSURANCE COVERAGE.

30. SUPPLIERS

- (1) LIST OF MANUFACTURES, INCLUDING ADDRESS, PHONE NUMBER, AND CONTACT PERSON.
- (2) INVENTORY LIST AND ADDRESS OF STORAGE SITE.
- (2) EXPLAIN HOW SUPPLIES ARE PACKAGED AND SHIPPED TO CONTRACTORS.

31. BROKER - AGENT

- (1) BUSINESS LICENSE.
- (2) DISTRIBUTOR AGREEMENT.
- (3) SELLING AGREEMENT.

32. USE THIS SPACE TO EXPLAIN ANY OF THE ABOVE ITEMS. YOU MAY ATTACH ADDITIONAL SHEETS IF NEEDED.

33. AREA(S) OF THE STATE YOU WISH TO BE CONSIDERED FOR WORK. SELECT ALL COUNTIES WHERE YOU ARE WILLING TO PERFORM WORK. YOU MAY SELECT STATEWIDE (SW) TO INDICATE YOU ARE WILLING TO WORK ANYWHERE IN THE STATE.

SW STATEWIDE	10 FRESNO	20 MADERA	30 ORANGE	40 SAN LUIS OBISPO	50 STANISLAUS
01 ALAMEDA	11 GLENN	21 MARIN	31 PLACER	41 SAN MATEO	51 SUTTER
02 ALPINE	12 HUMBOLDT	22 MARIPOSA	32 PLUMAS	42 SANTA BARBARA	52 TEHAMA
03 AMADOR	13 IMPERIAL	23 MENDOCINO	33 RIVERSIDE	43 SANTA CLARA	53 TRINITY
04 BUTTE	14 INYO	24 MERCED	34 SACRAMENTO	44 SANTA CRUZ	54 TULARE
05 CALAVERAS	15 KERN	25 MODOC	35 SAN BENITO	45 SHASTA	55 TUOLUMNE
06 COLUSA	16 KINGS	26 MONO	36 SAN BERNARDINO	46 SIERRA	56 VENTURA
07 CONTRA COSTA	17 LAKE	27 MONTEREY	37 SAN DIEGO	47 SISKIYOU	57 YOLO
08 DEL NORTE	18 LASSEN	28 NAPA	38 SAN FRANCISCO	48 SOLANO	58 YUBA
09 EL DORADO	19 LOS ANGELES	29 NEVADA	39 SAN JOAQUIN	49 SONOMA	

34. TYPE OF WORK PERFORMED. ENTER THE FIVE-DIGIT WORK PREFERENCE CODE(S) INDICATING WORK YOUR FIRM HAS THE ABILITY TO PERFORM.
(SEE WORK & COUNTY CODE SUPPLEMENT)

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IMPORTANT: YOU MUST NOT INDICATE WORK CODES FOR WORK YOUR FIRM DOES NOT HAVE THE ABILITY TO PERFORM.

AFFIDAVIT

"The undersigned swears, under penalty of perjury, that the foregoing statements are correct and true and include all material information necessary to identify and explain the operations of _____(Name of Firm) as well as the ownership thereof.

The undersigned also states that he or she is properly authorized by _____ to execute the affidavit and does so as his or her free act and deed. Further the undersigned swears, under penalty of perjury that the applicant, and any other individual who constitutes the Disadvantaged Business Enterprise, are members of a group that is presumed to be socially and economically disadvantaged, as defined in 49CFR Part 26.5. Any material misrepresentation will be grounds for removing your firm from the Disadvantaged Business Enterprise Program, terminating any contract which has or may be awarded to your firm and for initiating action under federal and state laws concerning false statements.

Printed Name	Signature	
Title		Date

NOTARY

The foregoing affidavit was subscribed and sworn to before me on this _____ day of _____, _____ by _____.

SEAL

Notary Public

Commission Expires

Mail completed questionnaire to:

Caltrans, Civil Rights Program MS 79
1820 Alhambra Boulevard
Sacramento, CA 95816

IMPORTANT

1. Complete **each question in full**. If additional explanations are needed, please address these in detail. Be sure to attach the requested documentation and label accordingly.
2. Indicate non-applicable items by using "N/A". If a requested document is not applicable to your firm, please explain why on a separate sheet of paper.
3. Every question **must** be filled in with the appropriate answer or "N/A". If your application is received incomplete, it will be returned to you in its entirety, along with a letter informing you of the missing documents. It is the applicants responsibility to ensure a complete application is received by Caltrans before a determination can be made.
4. Do not cut your statements short. If sufficient space is not provided, attach additional pages. It is better to supply too much rather than not enough information.
5. Application must be **notarized**, **signed**, and **dated**.

CERTIFICATION APPLICATION INSTRUCTIONS

INSTRUCTIONS

Question #1

Failure to indicate the Federal Employer Number may delay the certification process. Providing the Social Security Number is voluntary in accordance with the Privacy Act of 1974 (PL 93-579).

Question #2

The authorized/registered legal name of the firm and address of the physical location of the company. This must include all DBA's of the firm. Please include a mailing address if different than the company location. A Post Office Box Number alone is not acceptable. Additional offices should be listed on a separate attachment.

Question #3

Person(s) who own(s) the majority interest in the firm.

Question #4

Business phone number, including the area code.

Question #5

Facsimile number, including the area code.

Question #6

Provide information as requested.

Question #7

If certified, this name will appear in the DBE/MBE/WBE listing.

Question #8

Check the appropriate group membership box for the person or persons who have a controlling ownership interest in the firm. **Note:** Group membership cannot be claimed based solely upon being born in a certain country.

Citizens of the United States or lawfully admitted permanent residents who are women, Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, or other minorities found to be disadvantaged by the Small Business Administration (SBA), are **rebuttably** presumed to be socially and economically disadvantaged.

IMPORTANT: However, if Caltrans has **any** reason to question whether an individual is a member of a group that is presumed to be socially and economically disadvantaged the individual **must** demonstrate by a preponderance of the evidence that he or she is a member of that group.

CERTIFICATION APPLICATION INSTRUCTIONS

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Question #9
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Check the appropriate box, and indicate the date your firm was established and/or incorporated.

Question #10

Indicate whether your firm is 8(a) registered with the U.S. Small Business Administration. If yes, attach documentation and indicate expiration date.

Question #11

Indicate the nature of your firm's business, e.g., fencing, paving, equipment rental, etc.

Question #12

Provide the requested information regarding current licenses (*e.g., contractor, engineer, architect, etc.*) and attach a copy of each license. If the qualifying individual is not one of the minority or women owners listed in Questions #3, #15, or #16, please explain in Question #32.

Question #13

List the individuals responsible for the day-to-day management, policy and decision making areas indicated. If more than one, please indicate. Include resumes and duty statements for all principals.

Question #14

Provide information if applicable.

Question #15

Provide information as requested for partnerships and corporations.

Question #16

Identify officers with corresponding titles and other information requested.

Question #17

Provide information requested. Use additional paper if necessary.

CERTIFICATION APPLICATION INSTRUCTIONS

Question #18

Identify the current Board of Directors with other information requested. If the Board of Directors has changed within the last three years, list all directors for the last three years, including their names, ethnicity, and date elected in Question #32 or attach additional sheets.

Question #19 - #20

Provide information requested.

Question #21

List all equipment owned by your firm. Indicate approximate market value.

Question # 22

Provide information requested.

IMPORTANT: The Small Business Administration has established size criteria for small businesses. The criteria varies according to your firm's primary business classification. If your firm's average gross receipts for the most recent three year period exceeds these size criteria, then your firm is not eligible for the DBE program. However, your firm may still be eligible for certification as a MBE/WBE for participation in State-funded contracts.

Question #23

Identify all sources of loans made to the firm, amount loaned, date loan is due, and unpaid balance. Attach copies of the promissory note(s) and any other related documents outlining terms and conditions of the loan(s).

Question #24

Provide current bonding company, including their name and address and bonding limit.

Question #25

Provide information as requested. If the answer to a) or b) is yes, explain in Question #32 or attach a separate sheet.

Question #26

Provide information requested. If you answered yes to either questions, you must submit a copy of your certification. If you are an out of state firm you must submit a copy of the on-site report conducted by your home state Department of Transportation.

CERTIFICATION APPLICATION INSTRUCTIONS**Question #27**

These documents are required by all firms and must be submitted with the application. Failure to submit this information may result in closure of your file. If any of the documents are not included in the certification package, please indicate the reason for the omission.

- 1) Provide information as required. This form must be signed. Make sure to include all documents.
- 2) These forms and schedules must be signed. Make sure to include all documents.
- 3) Provide documents indicated.
- 4) Provide information as required. A letter from the bank which must include the authorized signatories and the required number of signatures.
- 5) Resumes for each principal, owner, or partner should include all jobs and positions held in the past and to date, the general description of their duties, the dates of employment or ownership, and the name of the employing company.
- 6) Provide current duties within the firm.

Provide copies of rental, lease, and/or purchase agreements or receipts for equipment which is used in the pursuit of business or are used by the firm's principals or personnel as a business practice. Include itemized list of major equipment you own.
- 7) Provide copies of property rental, lease and/or purchase agreements and/or receipts which are used in the pursuit of business or are used by the firm's principals or personnel as a business practice.
- 8) Provide proof of majority owner(s) initial capitalization. Please indicate how he/she acquired assets to purchase controlling interest in the firm, as demonstrated by, but not limited to, inheritance, loans, experience, or savings. Provide supporting documentation.
- 9) Provide documents indicated.
- 10) Provide documents indicated.
- 11) Provide documents indicated.
- 12) Provide documents indicated.
- 13) Provide documents indicated.
- 14) Provide documents indicated.
- 15) Provide information as required.

Question #28

The following documents are required for the following types of business, in addition to those documents listed below.

PARTNERSHIPS -

- 1) Self explanatory.
- 2) Copy of the firm's by-laws and any amendments or resolutions including, but not limited to, buy-out rights, meeting minutes, promissory notes, etc.
- 3) Provide documents indicated.

CORPORATIONS -

- 1) Complete and current financial statements including, but not limited to:
 - Balance Sheet
 - Income Statement
 - Statement of Retained Earnings
 - Statement of charges in financial position and all notes. This statement must be in conformance with generally accepted accounting principles.

CERTIFICATION APPLICATION INSTRUCTIONS

Question #28 (continued)

- 2) - 3) Copy of firm's Articles of Incorporation, Bylaws, and any other amendments or resolutions including, but not limited to, stock/ownership options, stockholders agreements, buy-out rights, all minutes of the Board of Director's meetings for the last three (3) years and the first organizational meeting minutes, stockholder voting rights, promissory notes, etc.
- 4) Copies of all stock certificates, transfer ledgers, and proof of purchase(s) issued to date.
- 5) - 7) Provide all documents as required.

LIMITED LIABILITY COMPANIES

- 1) All applicable Federal and State Taxes and Corporate or Partnership Documents.

Question #29 - #31

Provide information as required.

Question #32

This space is for explanations or other added information regarding previous questions.

Question #33

Indicate counties where your firm is willing to work.

Question #34

Enter work codes, using the enclosed listing.

IMPORTANT: You must not indicate work codes for work your firm does not have the ability to perform.

CERTIFICATION APPLICATION INSTRUCTIONS**REQUIRED DOCUMENTS**

All applicable documentation must be submitted. Please provide explanations in Item #32 or on a separate sheet of paper as indicated in the instructions. Failure to provide applicable information may result in closure of your file.

- (1) Personal Net Worth Statement / Affidavit (*see attached*).
- (2) Federal Tax Forms, signed, and all schedules for the firm for the past three years. Each principal must also submit W2's, 1099's, and Personal Tax Forms, signed, for the past three years.
- (3) Copies of the last three (3) completed contracts or proposals, including contact persons.
- (4) Bank signature card or statement from your bank indicating authorized signers and number of signatures required.
- (5) Resumes of all principals, owners, and partners showing education, training and employment with dates and a description of the duties performed. Also indicate all professional affiliations.
- (6) Current duty statement of day-to-day activities of all principals, owners, partners, and key employees.
- (7) Equipment rental, lease, or purchase agreements and/or receipts, loan documents, etc.
- (8) Property purchase, rental or lease agreements (*complete copy*).
- (9) Proof of capitalization. The documentation must include initial capitalization, sources of all funds and an explanation of how the ownership was obtained by the majority owner(s).
- (10) State Quarterly Wage and Withholding Reports.
- (11) All applicable licenses or permits.
- (12) Copies of all management service agreements, third party agreements, and/or franchise agreements.
- (13) Complete copy of any existing Trusts.
- (14) Fictitious Business Name Statement.
- (15) Explain any relationship between principals, owners, etc.

The following documents are **required** for the following business types:

Partnerships

- (1) Partnership agreements and all amendments.
- (2) Bylaws and all amendments.
- (3) Minutes of partnership meetings for last three years if applicable.

CERTIFICATION APPLICATION INSTRUCTIONS

Corporations

- (1) Current financial statement prepared by an independent CPA or accountant.
- (2) Articles of Incorporation and all amendments.
- (3) Bylaws and all amendments.
- (4) Issued stock certificates (no samples) and completed stock transfer ledger. Proof of stock purchase.
- (5) Authority To Do Business in California if a foreign corporation.
- (6) All minutes of meetings of the Board of Directors for the last three years.
- (7) Initial Statement by Domestic Stock Corporation and all subsequent statements through the current year.

Limited Liability Companies

- (1) All applicable Federal and State Taxes and Corporate or Partnership Documents.

Truckers/Truck Brokers

- (1) Copy of Driver's License.
- (2) Department of Motor Vehicle Registration.
- (3) Equipment list.
- (4) DMV Permit(s).
- (5) Public Liability and Property Damage Insurance Coverage.

Suppliers

- (1) List of manufacturers, including address, phone number, and contact person.
- (2) Inventory list and address of storage site.
- (3) Explanation of how supplies are packaged and shipped to contractors.

Brokers-Agents

- (1) Business License.
- (2) Distributor Agreement.
- (3) Selling Agreement.

DEPARTMENT OF TRANSPORTATION

CIVIL RIGHTS PROGRAM - MS 79
1820 ALHAMBRA BOULEVARD
SACRAMENTO, CALIFORNIA 95816
(916) 227-9599



Dear Contractor:

Please use the attached list of Work Codes when identifying the type of work your company performs.

County codes as defined by Caltrans are listed below. If you wish to work anywhere in the State you may use the Statewide (SW) code.

01 ALAMEDA	21 MARIN	41 SAN MATEO
02 ALPINE	22 MARIPOSA	42 SANTA BARBARA
03 AMADOR	23 MENDOCINO	43 SANTA CLARA
04 BUTTE	24 MERCED	44 SANTA CRUZ
05 CALAVERAS	25 MODOC	45 SHASTA
06 COLUSA	26 MONO	46 SIERRA
07 CONTRA COSTA	27 MONTEREY	47 SISKIYOU
08 DEL NORTE	28 NAPA	48 SOLANO
09 EL DORADO	29 NEVADA	49 SONOMA
10 FRESNO	30 ORANGE	50 STANISLAUS
11 GLENN	31 PLACER	51 SUTTER
12 HUMBOLDT	32 PLUMAS	52 TEHAMA
13 IMPERIAL	33 RIVERSIDE	53 TRINITY
14 INYO	34 SACRAMENTO	54 TULARE
15 KERN	35 SAN BENITO	55 TUOLUMNE
17 LAKE	36 SAN BERNARDINO	56 VENTURA
16 KINGS	37 SAN DIEGO	57 YOLO
18 LASSEN	38 SAN FRANCISCO	58 YUBA
19 LOS ANGELES	39 SAN JOAQUIN	SW STATEWIDE
20 MADERA	40 SAN LUIS OBISPO	(ALL COUNTIES)

Sincerely,

ALGERINE McCRAY
Deputy Director
Civil Rights Program

WORK CATEGORY CODES
CR-3018

A. AGRICULTURE, FORESTRY, AND FISHING

AGRICULTURAL PRODUCTION CROPS

- A0110 Cash Grains
- A0130 Field Crops, Except Cash Grains
- A0160 Vegetables and Melons
- A0170 Fruits and Tree Nuts
- A0180 Horticulture Specialties
- A0190 General Farms, Primarily Crop

AGRICULTURAL PRODUCTION LIVESTOCK

- A0210 Livestock, Except Dairy and Poultry
- A0240 Dairy Farms
- A0250 Poultry and Eggs
- A0270 Animal Specialties
- A0290 General Farms, Primarily Animal

AGRICULTURAL SERVICES

- A0710 Soil Preparation Services
- A0720 Crop Services
- A0740 Veterinary Services
- A0750 Animal Services except Veterinary
- A0760 Farm Labor and Management Services
- A0780 Landscape and Horticultural Services

FORESTRY

- A0810 Timber Tracts
- A0830 Forest Products
- A0850 Forestry Services

FISHING, HUNTING AND TRAPPING

- A0910 Commercial Fishing
- A0920 Fish Hatcheries and Preserves
- A0970 Hunting, Trapping, Game Propagation

B. MINING

METAL MINING

- B1010 Iron Ores
- B1020 Copper Ores
- B1030 Lead and Zinc Ores
- B1040 Gold and Silver Ores
- B1060 Ferroalloy Ores, Except Vanadium
- B1080 Metal Mining Services
- B1090 Miscellaneous Metal Ores

COAL MINING

- B1220 Bituminous Coal and Lignite Mining
- B1230 Anthracite Mining
- B1240 Coal Mining Services

OIL AND GAS EXTRACTION

- B1310 Crude Petroleum and Natural Gas
- B1320 Natural Gas Liquids
- B1380 Oil and Gas Field Services

NONMETALLIC MINERALS, EXCEPT FUELS

- B1410 Dimension Stone
- B1420 Crushed and Broken Stone
- B1440 Sand and Gravel
- B1450 Clay, Ceramic, & Refractory Minerals
- B1470 Chemical and Fertilizer Minerals
- B1480 Nonmetallic Minerals Services
- B1490 Miscellaneous Nonmetallic Minerals

C. CONSTRUCTION

HIGHWAY & BUILDING CONSTRUCTION SUPPLIERS

- C0600 Misc. Suppliers
- C0612 Safety
- C0620 Landscaping and Nursery
- C0624 Petroleum, Oil, Lubricants
- C0625 Sand and Gravel
- C0626 Granite & Marble
- C0639 Asphalt
- C0649 Pilings
- C0651 Concrete and Cement
- C0652 Reinforcing Bar Section
- C0655 Steel
- C0656 Doors & Frames
- C0657 Lumber
- C0658 Paper
- C0659 Paint
- C0670 Pipe
- C0680 Fencing
- C0683 Guard Railings & Barriers
- C0685 Pavement Markers
- C0686 Electrical & Signals
- C0687 Glass & Glass Block
- C0698 Building Materials

LEGAL RELATIONS AND RESPONSIBILITY

- C0700 Construction Staking

TRAFFIC CONTROL SYSTEM

- C1200 Construction Area Signs
- C1201 Traffic Control System

EXISTING HIGHWAY FACILITIES

- C1522 Reset, Adjust Highway Items
- C1531 Plane Asphalt Concrete
- C1575 Remove Bridge Item
- C1580 Modify Bridge Item

CLEARING AND GRUBBING

- C1601 Clearing and Grubbing

WATERING

- C1701 Develop Water Supply

DUST PALLIATIVE

- C1801 Dust Palliative

EARTHWORK

- C1901 Roadway Excavation
- C1910 Grading
- C1920 Structure Excavation
- C1925 Shaped Bedding
- C1930 Structure Backfill
- C1940 Ditches Excavation
- C1970 Embankment Construction
- C1980 Imported Borrow

EROSION CONTROL & HIGHWAY PLANTING

- C2000 Highway Planting
- C2020 Soil Amendments
- C2021 Hydroseeding
- C2030 Erosion Control
- C2065 Irrigation System

FINISHING ROADWAY

- C2201 Finishing Roadway

LIME TREATMENT

- C2401 Lime Treatment

AGGREGATE SUBBASE

- C2501 Aggregate Subbase

AGGREGATE BASE

- C2602 Aggregate Base

CEMENT TREATED BASE

- C2700 Cement Treated Base

LEAN CONCRETE BASE

- C2800 Concrete Base

PENETRATION TREATMENT

- C3600 Penetration Treatment and Prime Coat

BITUMINOUS SEAL

- C3701 Seal Coat

ASPHALT CONCRETE

- C3901 Asphalt Concrete
- C3910 Paving Asphalt (Asphalt Concrete)
- C3930 Pavement Reinforcing Fabric
- C3940 Place Asphalt Concrete Dike & Misc.
- C3990 Recycle, Reclaim Asphalt Concrete

PORTLAND CEMENT CONCRETE PAVEMENT

- C4010 Portland Cement Concrete Pavement
- C4040 Clean & Seal Pavement Joints - Rout & Seal - Cracks

PAVEMENT SUBSEALING & JACKING

- C4101 Pavement Subsealing & Jacking

GROOVE AND GRIND PAVEMENT

- C4201 Groove and Grind Pavement

PILING

- C4901 Furnish and Drive Piling
- C4906 Cast In-Drilled Hole-Concrete Piling

PRESTRESSING CONCRETE

- C5000 Prestressing Concrete Cast in Place

CONCRETE STRUCTURE

- C5100 Concrete Structure
- C5105 Minor Concrete Structure
- C5110 Concrete Surface Finish
- C5111 Concrete Overlay - Drill & Bond
- C5120 Furnish Precast Concrete Deck Unit
- C5124 Erect Precast Concrete
- C5135 Concrete Block & Masonry Retaining Wall
- C5136 Reinforced Concrete Crib Wall
- C5150 Core Concrete - Repair Bridge Deck
- C5180 Sound Wall (Masonry Block - Concrete)
- C5190 Joint Seal - Water Stop

REINFORCEMENT

- C5201 Reinforcing Steel

AIR-BLOWN MORTAR

- C5301 Air-Blown Mortar
- C5310 Pipe Lining (Cement Mortar)

WORK CATEGORY CODES

CR-3018

<p>WATERPROOFING</p> <p>C5401 Waterproofing</p> <p>STEEL STRUCTURE</p> <p>C5501 Steel Structures C5570 Steel Crib Wall</p> <p>SIGNS</p> <p>C5601 Sign Structure C5620 Roadside Sign</p> <p>TIMBER STRUCTURE</p> <p>C5701 Lumber And Timber</p> <p>PAINTING</p> <p>C5900 Clean And Paint Steel</p> <p>RAILROAD</p> <p>C6101 Railroad Work</p> <p>ALTERNATIVE PIPE CULVERT</p> <p>C6200 Alternative Pipe Culvert</p> <p>CAST-IN-PLACE CONCRETE PIPE</p> <p>C6301 Cast-In-Place Concrete Pipe</p> <p>ASBESTOS-CEMENT PIPE</p> <p>C6401 Asbestos-Cement Pipe</p> <p>REINFORCED CONCRETE PIPE</p> <p>C6500 Reinforced Concrete Pipe C6552 Jacked Reinforced Concrete Pipe C6591 Non-Reinforced Concrete Pipe</p> <p>CORRUGATED STEEL PIPE (CSP)</p> <p>C6650 Corrugated Metal Pipe (CSP) C6680 Jacked Corrugated Steel Pipe</p> <p>STRUCTURAL METAL PLATE PIPE, ARCH & PIPE ARCH</p> <p>C6700 Structural Steel Plate Pipe, Arch, and Pipe Arch</p> <p>SUBSURFACE DRAIN</p> <p>C6800 Subsurface Drain C6811 Edge Drain C6815 Horizontal Drain C6819 Filter Fabric C6820 Permeable Material</p>	<p>DOWNDRAIN</p> <p>C6900 Downdrain</p> <p>MISCELLANEOUS FACILITY</p> <p>C7000 Plastic Pipe C7006 Corrugated Steel Pipe Inlet & Riser C7026 Corrugated Steel Pipe Energy Dissipator C7035 Welded Steel Pipe C7041 Jacked Welded Steel Pipe C7065 Debris Rack-Drainage Gate</p> <p>SEWER</p> <p>C7112 Reinforced Concrete Sewer Pipe C7140 Clay Sewer Pipe C7160 Asbestos-Cement Sewer Pipe C7180 Cast Iron Sewer Pipe C7191 Sewer Manhole C7194 Junction Chamber</p> <p>SLOPE PROTECTION</p> <p>C7200 Rock Slope Protection C7215 Concreted-Rock Slope Protection C7218 Air-Blown Mortar (Slope Paving) C7250 Sacked Concrete</p> <p>CONCRETE CURB AND SIDEWALK</p> <p>C7301 Concrete Curb And Sidewalk - Misc.</p> <p>PUMPING PLANT EQUIPMENT</p> <p>C7405 Drainage Pumping Equipment C7410 Pumping Plant Electrical Equipment C7415 Engine Generator Set</p> <p>MISCELLANEOUS METAL</p> <p>C7500 Misc. Iron & Steel Frame, Cover & Grate C7505 Misc. Bridge Metal Pumping Plant Metal</p> <p>WELL</p> <p>C7600 Develop, Test, Drill, Maintain Wells</p> <p>FENCE</p> <p>C8000 Fencing</p> <p>MONUMENTS</p> <p>C8101 Survey Or Historical Monument</p> <p>MARKERS AND DELINEATORS</p> <p>C8201 Object Marker</p> <p>RAILING AND BARRIER</p> <p>C8320 Metal Beam Guard Railing C8330 Metal Railing C8331 Concrete Barrier C8391 Metal Beam Barrier</p>	<p>TRAFFIC STRIPES AND PAVEMENT MARKING</p> <p>C8405 Thermoplastic Traffic Stripe & Marking C8406 Painted Traffic Stripe & marking</p> <p>PAVEMENT MARKER</p> <p>C8501 Pavement Marking</p> <p>SIGNAL AND LIGHTING</p> <p>C8602 Signal and Lighting C8603 Signal C8604 Lighting C8605 Message Signs, Lighting & Sign Illumination C8608 Detector C8609 Traffic Count Station C8610 Speed Monitoring Station C8611 Ramp Metering System</p> <p>CONSULTANTS, ARCHITECTS & ENGINEERS</p> <p>C8700 Consultant C8701 Business Administration C8702 Management Information Systems C8703 Traffic Engineer C8704 Architectural C8705 Design C8706 Design Bridges C8707 Feasibility Studies C8710 Engineering C8711 Computer C8712 Public Relations C8716 Architectural Engineer C8720 Civil Engineer C8721 Right Of Way Engineer C8722 Environmental Engineer C8730 Safety Studies C8740 Electrical Engineer C8742 Mechanical Engineer C8744 Landscape Architects C8750 Real Estate C8760 Surveyor C8761 Geophysics C8765 Drafting C8770 Construction Management</p> <p>MISCELLANEOUS RAIL CAR</p> <p>C8900 Rail Car Services C8901 Air Conditioning / Sheet Metal C8902 Heating C8903 Electrical C8904 Glass Installation C8905 Seats C8906 Auto Service C8907 Machining C8908 Personnel Transportation</p>	<p>TRUCKING</p> <p>C9602 Bottom Dump Trucking C9605 Flat bed Trucking C9632 Hazardous Waste Trucking C9670 Truck Rental C9771 Truck Broker C9774 Trucker</p> <p>BUILDING CONSTRUCTION</p> <p>C9801 Building Construction C9810 Small Structures C9822 Carpentry C9826 Land Surveying C9827 Drywall Construction C9828 Crane Work C9829 Retainer Walls C9830 Wall Covering C9834 Cabinetry C9835 Lathing C9836 Plastering C9837 Roofing C9838 Ceramic Tile C9839 Carpet and Drapes C9840 Floor Covering C9842 Masonry C9846 Additions, Alterations, Or Repairs C9850 Plumbing C9852 Exterminators C9854 Painting Structures C9858 Residential Electrical C9860 Water Meter & Temp Facilities C9862 Residential Air Conditioning & Sheet Metal C9864 Shower Doors & Mirror Installation C9866 Heating & Air Conditioning C9868 Insulation C9869 Asbestos Removal / Abatement C9872 Sewer Connection C9874 Hardware (Rough) C9876 Hardware (Finish) C9878 Siding, Stucco, Veneer</p> <p>MISCELLANEOUS CONSTRUCTION SERVICES</p> <p>C9901 Misc. Services - Caltrans Facilities C9902 Fuel Systems C9903 Construction Clean Up C9904 Coring C9905 Cutting C9906 Sandblasting C9907 Construction Equipment Rental C9908 Heavy Equipment Rental C9947 Elevator C9980 Demolition C9881 Building Mover C9888 Moving And Storage C9999 Broker (For Fee Only)</p>
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D. MANUFACTURING

FOOD AND KINDRED PRODUCTS

- D2010 Meat Products
- D2020 Dairy Products
- D2030 Preserved Fruits and Vegetables
- D2040 Grain Mill Products
- D2050 Bakery Products
- D2060 Sugar and Confectionery Products
- D2070 Fats and Oils
- D2080 Beverages
- D2090 Misc. Food and Kindred Products

TOBACCO PRODUCTS

- D2110 Cigarettes
- D2120 Cigars
- D2130 Chewing and Smoking Tobacco
- D2140 Tobacco Stemming and Redrying

TEXTILE MILL PRODUCTS

- D2210 Broadwoven Fabric Mills, Cotton
- D2220 Broadwoven Fabric Mills, Manmade
- D2230 Broadwoven Fabric Mills, Wool
- D2240 Narrow Fabric Mills
- D2250 Knitting Mills
- D2260 Textile Finishing, Except Wool
- D2270 Carpets and Rugs
- D2280 Yarn and Thread Mills
- D2290 Miscellaneous Textile Goods

APPAREL AND OTHER TEXTILE PRODUCTS

- D2310 Men's and Boy's Suits and Coats
- D2320 Men's and Boy's Furnishings
- D2330 Women's and Misses' Outerwear
- D2340 Women's and Children's Undergarments
- D2350 Hat's, Caps, and Millinery
- D2360 Girl's and Children's Outerwear
- D2370 Fur Goods
- D2380 Miscellaneous Apparel and Accessories
- D2390 Misc. Fabricated Textile Products

LUMBER AND WOOD PRODUCTS

- D2410 Logging
- D2420 Sawmill's and Planing Mills
- D2430 Milwork, Plywood & Structural Members
- D2440 Wood Containers
- D2450 Wood Buildings and Mobile Homes
- D2490 Miscellaneous Wood Products

FURNITURE AND FIXTURES

- D2510 Household Furniture
- D2520 Office Furniture
- D2530 Public Building & Related Furniture
- D2540 Partitions and Fixtures
- D2590 Miscellaneous Furniture and Fixtures

PAPER AND ALLIED PRODUCTS

- D2610 Pulp Mills
- D2620 Paper Mills
- D2630 Paperboard Mills
- D2650 Paperboard Containers and Boxes
- D2670 Misc. Converted Paper Products

PRINTING AND PUBLISHING

- D2710 Newspapers
- D2720 Periodicals
- D2730 Books
- D2740 Miscellaneous Publishing
- D2750 Commercial Printing
- D2760 Manifold Business Forms
- D2770 Greeting Cards
- D2780 Blankbooks and Bookbinding
- D2790 Printing Trade Services

CHEMICALS AND ALLIED PRODUCTS

- D2810 Industrial Inorganic Chemicals
- D2820 Plastics Materials and Synthetics
- D2830 Drugs
- D2840 Soap, Cleaners, and Toilet Goods
- D2850 Paints and Allied Products
- D2860 Industrial Organic Chemicals
- D2870 Agricultural Chemicals
- D2890 Miscellaneous Chemical Products

PETROLEUM AND COAL PRODUCTS

- D2910 Petroleum Refining
- D2950 Asphalt Paving and Roofing Materials
- D2990 Misc. Petroleum and Coal Products

RUBBER AND MISC PLASTICS PRODUCTS

- D3010 Tires and Inner Tubes
- D3020 Rubber and Plastics Footwear
- D3050 Hose & Belting & Gaskets & Packing
- D3060 Fabricated Rubber Products, NEC
- D3080 Miscellaneous Plastics Products, NEC

LEATHER AND LEATHER PRODUCES

- D3110 Leather Lanning and Finishing
- D3130 Footwear, Cut Stock
- D3140 Footwear, Except Rubber
- D3150 Leather Gloves and Mittens
- D3160 Luggage
- D3170 Handbags and Personal Leather Goods
- D3190 Leather Goods, NEC

STONE, CLAY, AND GLASS PRODUCTS

- D3210 Flat Glass
- D3220 Glass and Glassware, Pressed or Blown
- D3230 Products of Purchased Glass
- D3240 Cement, Hydraulic
- D3250 Structural Clay Products
- D3260 Pottery and Related Products
- D3270 Concrete, Gypsum, and Plaster Products

PRIMARY METAL INDUSTRIES

- D3310 Blast Furnace and Basic Steel Products
- D3320 Iron and Steel Foundries
- D3330 Primary Nonferrous Metals
- D3340 Secondary Nonferrous Metals
- D3350 Nonferrous Rolling and Drawing
- D3360 Nonferrous Foundries (Castings)

FABRICATED METAL PRODUCTS

- D3410 Metal Cans and Shipping Containers
- D3420 Cutlery, Handtools, and Hardware
- D3430 Plumbing and Heating, Except Electric
- D3440 Fabricated Structural Metal Products
- D3450 Screw Machine Products, Bolts, Ect.
- D3460 Metal Forgings and Stampings
- D3470 Metal Services, NEC
- D3480 Ordnance and Accessories, NEC

INDUSTRIAL MACHINERY AND EQUIPMENT

- D3510 Engines and Turbines
- D3520 Farm and Garden Machinery
- D3530 Construction and Related Machinery
- D3540 Metalworking Machinery
- D3550 Special Industrial Machinery
- D3560 General Industry Machinery
- D3570 Computer and Office Equipment
- D3580 Refrigeration and Service Machinery

ELECTRONIC & OTHER ELECTRIC EQUIPMENT

- D3610 Electric Distribution Equipment
- D3620 Electrical Industrial Apparatus
- D3630 Household Appliances
- D3640 Electric Lighting and Wiring Equipment
- D3650 Household Audio and Video Equipment
- D3660 Communication Equipment
- D3670 Electronic Components and Accessories

TRANSPORTATION EQUIPMENT

- D3710 Motor Vehicles and Equipment
- D3720 Aircraft and Parts
- D3730 Ship and Boat Building and Repairing
- D3740 Railroad Equipment
- D3750 Motorcycles, Bicycles, and Parts
- D3760 Guided Missiles, Space Vehicles, Parts

INSTRUMENTS AND RELATED PRODUCTS

- D3810 Search and Navigation Equipment
- D3820 Measuring and Controlling Devices
- D3840 Medical Instruments and Supplies
- D3850 Ophthalmic Goods
- D3860 Photographic Equipment and Supplies
- D3870 Watches, Clocks, Watchcases & Parts

MISCELLANEOUS MANUFACTURING INDUSTRIES

- D3910 Jewelry, Silverware, Plated Ware
- D3930 Musical Instruments
- D3940 Toys and Sporting Goods
- D3950 Pens, Pencils, Office, & Art Supplies
- D3960 Costume Jewelry and Notion
- D3990 Miscellaneous Manufactures

E. TRANSPORTATION AND PUBLIC UTILITIES

RAILROAD TRANSPORTATION

- E4010 Railroads

LOCAL AND INTERURBAN PASSENGER TRANSIT

- E4110 Local and Suburban Transportation
- E4120 Taxicabs
- E4130 Intercity and Rural Bus Transportation
- E4140 Bus Charter Service
- E4150 School Buses
- E4170 Bus Terminal and Service Facilities

TRUCKING AND WAREHOUSING

- E4210 Trucking & Courier Services, Ex. Air
- E4220 Public Warehousing and Storage

U.S. POSTAL SERVICE

- E4310 U.S. Postal Service

WATER TRANSPORTATION

- E4410 Deep Sea Foreign Trans. of Freight
- E4420 Deep Sea Domestic Trans. of Freight
- E4430 Freight Trans. on the Great Lakes
- E4440 Water Transportation of Freight,nec.
- E4480 Water Transportation of Passengers

TRANSPORTATION BY AIR

- E4510 Air Transportation, Scheduled
- E4520 Air Transportation, Nonscheduled

PIPELINES, EXCEPT NATURAL GAS

- E4610 Pipelines, Except Natural Gas

TRANSPORTATION SERVICES

- E4720 Passenger Transportation Arrangements
- E4724 Travel Service
- E4730 Freight Transportation Arrangement
- E4740 Rental of Railroad Cars
- E4780 Miscellaneous Transportation Services

WORK CATEGORY CODES

CR-3018

COMMUNICATIONS

- E4810 Telephone Communications
- E4820 Telegraph & Other Communications
- E4830 Radio and Television Broadcasting
- E4840 Cable and Other Pay TV Services
- E4890 Communications Services, NEC

ELECTRIC, GAS, AND SANITARY SERVICES

- E4910 Electric Services
- E4920 Gas Production and Distribution
- E4930 Combination Utility Services
- E4940 Water Supply
- E4950 Sanitary Services, NEC
- E4952 Sewerage Systems
- E4953 Waste Collection and Disposal
- E4954 Hazardous Waste Collection and Disposal
- E4960 Steam and Air Conditioning Supply
- E4970 Irrigation Systems

F. SUPPLIERS

(Highway Construction suppliers listed in section C Construction.)

DURABLE GOODS

- F5030 Lumber and Construction Materials
- F5040 Professional and Commercial Equipment
- F5044 Office Equipment
- F5045 Computers. Peripherals and Software
- F5050 Metals and Materials Except Petroleum
- F5060 Electrical Goods
- F5070 Hardware, Plumbing & Heating Equipment
- F5080 Machinery, Equipment, and Supplies
- F5085 Computer Equipment and Supplies
- F5088 Transportation Equipment and Supplies
- F5090 Miscellaneous Durable Goods

NONDURABLE GOODS

- F5110 Paper and Paper Products
- F5130 Apparel Piece Goods and Notions
- F5140 Groceries and Related Products
- F5150 Farm Product Raw Materials
- F5160 Chemicals and Allied Products
- F5170 Petroleum and Petroleum Products
- F5180 Beer, Wine, and Distilled Beverages
- F5190 Misc. Nondurable Goods

BUILDING MATERIALS & GARDEN SUPPLIES

- F5210 Lumber and Other Building Materials
- F5230 Paint Glass and Wallpaper Stores
- F5251 Hardware Stores
- F5260 Retail Nurseries and Garden Stores
- F5270 Mobile Home Dealers

GENERAL MERCHANDISE STORES

- F5310 Department Stores
- F5330 Variety Stores

FOOD STORES

- F5410 Grocery Stores
- F5420 Meal and Fish Markets
- F5430 Fruit and Vegetable Markets
- F5440 Candy. Nut and Confectionery Stores
- F5450 Dairy Products Stores
- F5460 Retail Bakeries
- F5490 Miscellaneous Food Stores

AUTOMOTIVE DEALERS & SERVICE STATIONS

- F5510 New and Used Car Dealers
- F5520 Used Car Dealers
- F5530 Auto and Home Supply Stores
- F5540 Gasoline Service Station
- F5550 Boat Dealers
- F5560 Recreational Vehicle Dealers
- F5570 Motorcycle Dealers
- F5590 Automotive Dealers, NEC

APPAREL AND ACCESSORY STORES

- F5610 Men's & Boys' Clothing Stores
- F5620 Women's Clothing Stores
- F5630 Women's Accessory
- F5640 Childhood and Infants Wear Stores
- F5650 Family Clothing Stores
- F5660 Shoe Stores
- F5690 Misc. Apparel & Accessory Stores

FURNITURE AND HOMEFURNISHINGS STORES

- F5710 Furniture and Homefurnishings Stores
- F5720 Household Appliance Stores
- F5730 Radio. Television & Computer Stores

EATING AND DRINKING PLACES

- F5810 Eating and Drinking Places
- F5820 Catering

MISCELLANEOUS RETAIL

- F5910 Drug Stores and Propnetary Stores
- F5920 Liquor Stores
- F5930 Used Merchandise Stores
- F5940 Miscellaneous Shopping Goods Stores
- F5960 Nonstore Retailers
- F5970 Fuel Dealers
- F5990 Retail Stores, NEC
- F5992 Florist

H. FINANCE INSURANCE AND REAL ESTATE

DEPOSITORY INSTITUTIONS

- H6010 Central Reserve Depositories
- H6020 Commercial Banks
- H6030 Savings Institutions
- H6060 Credit Unions
- H6080 Foreign Bank & Branches & Agencies

NONDEPOSITORY INSTITUTIONS

- H6110 Federal & Fed. Sponsored Credit
- H6140 Personal Credit Institutions
- H6150 Business Credit Institutions
- H6160 Mortgage Bankers and Brokers

SECURITY AND COMMODITY BROKERS

- H6210 Security Brokers and Dealers
- H6220 Commodity Contract Brokers Dealers
- H6230 Security and Commodity Exchanges
- H6280 Security and Commodity Services

INSURANCE CARRIERS

- H6310 Life Insurance
- H6320 Medical Service end Health Insurance
- H6330 Fire Marine end Casually Insurance
- H6350 Surety Insurance
- H6360 Title Insurance
- H6370 Pension, Health, and Welfare Funds
- H6390 Insurance Carriers, NEC

INSURANCE AGENTS, BROKERS, & SERVICES

- H6410 Insurance Agents, Brokers, & Services

REAL ESTATE

- H6510 Real Estate Operators and Lessors
- H6530 Real Estate Agents and Managers
- H6531 Real Estate Appraisers and Brokers
- H6540 Title Abstract Offices
- H6550 Subdividers and Developers

HOLDING AND OTHER INVESTMENT OFFICES

- H6710 Holding Offices
- H6720 Investment Offices
- H6730 Trusts
- H6790 Miscellaneous Investing

I. SERVICES

HOTELS AND OTHER LODGING PLACES

- I7010 Hotels and Motels
- I7020 Rooming and Boarding Houses
- I7030 Camps and Recreational Vehicle Parks
- I7040 Membership Basis Org. Hotels

PERSONAL SERVICES

- I7210 Laundry. Cleaning, & Garments
- I7220 Photographic Studios, Portrait
- I7230 Beauty Shops
- I7240 Barber Shops
- I7250 Shoe Repair and Shoeshine Parlors
- I7260 Funeral Service and Crematories
- I7290 Miscellaneous Personal Services
- I7291 Tax Return Preparation Services

BUSINESS SERVICES

- I7310 Advertising
- I7320 Credit Reporting and Collection
- I7330 Mailing Reproduction Stenographic
- I7336 Commercial Art & Graphic Design
- I7340 Services to Buildings
- I7341 Janitorial Services
- I7342 Disinfecting and Pest Control
- I7349 Building Maintenance Services
- I7350 Misc. Equipment Rental & Leasing
- I7360 Personnel Supply Services
- I7370 Computer and Data Processing Services
- I7371 Computer Programming
- I1372 Prepackaged Software
- I7373 Integrated Systems & CAD/CAM Systems
- I7375 Information Retrieval Systems
- I7377 Computer Rental and Leasing
- I7378 Computer Maintenance & Repair
- I7380 Miscellaneous Business Services
- I7381 Detective & Armored Car Services
- I7382 Security Systems Services
- I7388 Interior Decorating & Design

AUTO REPAIR. SERVICES. AND PARKING

- I7510 Automotive Rentals. No Drivers
- I7520 Automobile Parking
- I7530 Automotive Repair Shops
- I7540 Automotive Services, Except Repair
- I7550 Towing

MISCELLANEOUS REPAIR SERVICES

- I7620 Electrical Repair Shops
- I7630 Watch, Clock, and Jewelry Repair
- I7640 Reupholstery and Furniture Repair
- I7690 Miscellaneous Repair Shops
- I7698 Locksmith

MOTION PICTURES

- I7810 Motion Picture & Video Tape Production
- I7820 Motion Picture & Video Tape Distribution
- I7830 Motion Picture Theaters
- I7840 Video Tape Rental
- I7850 Miscellaneous Audio Visual Services

AMUSEMENT & RECREATION SERVICES

- I7910 Dance Studios. Schools and Halls
- I7920 Producers. Orchestras Entertainers
- I7930 Bowling Centers
- I7940 Commercial Sports
- I7990 Misc. Amusement. Recreation Services

HEALTH SERVICES

- I8010 Office & Clinics of Medical Doctors
- I8020 Offices and Clinics of Dentist
- I8030 Office of Osteopathic Physicians
- I8040 Offices of Other Health Practitioners
- I8050 Nursing and Personal Care Facilities
- I8060 Hospitals
- I8070 Medical Laboratories
- I8073 Drug Testing
- I8080 Home Health Care Services
- I8090 Health and Allied Services, NEC

LEGAL SERVICES

- I8110 Legal Services

EDUCATIONAL SERVICES

- I8210 Elementary and Secondary Schools
- I8220 Colleges and Universities
- I8230 Libraries
- I8240 Vocational Schools
- I8290 Schools & Educational Services, NEC

SOCIAL SERVICES

- I8320 Individual and Family Services
- I8330 Job Training and Related Services
- I8350 Child Day Care Services
- I8360 Residential Care
- I8390 Social Services, NEC

MUSEUMS, BOTANICAL, ZOOLOGICAL GARDENS

- I8410 Museums and Art Galleries
- I8420 Botanical and Zoological Gardens

MEMBERSHIP ORGANIZATIONS

- I8610 Business Associations
- I8620 Professional Organizations
- I8630 Labor Organizations
- I8640 Civic and Social Associations
- I8650 Political Organizations
- I8660 Religious Organizations
- I8690 Membership Organizations, NEC

Management Services

- I8720 Accounting, Auditing, & Bookkeeping
- I8730 Research and Testing Services
- I8734 Laboratory Testing and Analysis
- I8740 Management and Public Relations

PRIVATE HOUSEHOLDS

- I8810 Private Households

SERVICES, NEC

- I8990 Services, NEC
- I8991 Recycling

J. PUBLIC ADMINISTRATION

EXECUTIVE, LEGISLATIVE, AND GENERAL

- J9110 Executive Offices
- J9120 Legislative Bodies
- J9130 Executive and Legislative Combined
- J9190 General Government, NEC

JUSTICE, PUBLIC ORDER, AND SAFETY

- J9210 Courts
- J9220 Public Order and Safety

FINANCE, TAXATION, & MONETARY POLICY

- J9310 Finance, Taxation, & Monetary Policy

ADMINISTRATION OF HUMAN RESOURCES

- J9410 Admin. of Educational Programs
- J9430 Admin. of Public health Programs
- J9440 Admin. of Social & Manpower Programs
- J9450 Administration of Veterans' Affairs

ENVIRONMENTAL QUALITY AND HOUSING

- J9510 Environmental Quality
- J9530 Housing and Urban Development

ADMINISTRATION OF ECONOMIC PROGRAMS

- J9610 Admin. of General Economic Programs
- J9620 Regulations, Admin. of Transportation
- J9630 Regulation, Admin. of Utilities
- J9640 Regulation of Agricultural Marketing
- J9650 Regulation Misc. Commercial Sectors
- J9660 Space Research and Technology

NATIONAL SECURITY AND INT. AFFAIRS

- J9710 National Security
- J9720 International Affairs

**PERSONAL NET WORTH STATEMENT**

CR-0003 (REV 3/2000)

As of

Complete this form for: each socially and economically disadvantaged owner who individually owns or contributes to an ownership interest of 51 or more percent in the firm; and whose ownership and control are relied upon for DBE certification

NAME		BUSINESS PHONE
RESIDENCE ADDRESS		RESIDENCE PHONE
CITY	STATE	ZIP CODE
BUSINESS NAME OF APPLICANT		

ASSETS	(Omit Cents)	LIABILITIES AND EXCLUSIONS	(Omit Cents)
Cash on hand & in Banks	\$	Accounts Payable	\$
Savings Accounts	\$	Notes payable to Banks and Others	\$
IRA or Other Retirement Account	\$	(Complete Section 2)	
Accounts & Notes Receivable	\$	Installment Account (Auto)	\$
Life Insurance-Cash Surrender Value Only	\$	Mo. Payments \$	
(Complete Section 8)		Installment Account (Other)	\$
Stocks and Bonds (See instruction	\$	Mo. Payments \$	
p.4 of 5) (Complete Section 3)		Loan on Life Insurance ..	\$
Real Estate	\$	Mortgages on Real Estate	\$
(Complete Section 4)		(Complete Section 4)	
Automobile-Present Value	\$	Unpaid Taxes	\$
Other Personal Property	\$	(Describe in Section 6)	
(Describe in Section 5)		Other Liabilities	\$
Ownership Interest in Firm	\$	(Describe in Section 7)	
Other Assets	\$	Exclusions	
(Describe in Section 5)		Ownership Interest in Firm (Dollar Value)	\$
Total Assets	\$	Equity in Primary Residence	\$
		Total Liabilities	\$

Section 1. Source of Income	Contingent Liabilities
Salary	Legal Claims & Judgments
Net Investment income	As Endorser or Co-Maker
Real Estate Income	Provision for Federal Income Tax
Other Income (Describe below)*	Other Special Debt
Description of Other Income in Section 1.	

*Alimony or child support payments need not be disclosed in "Other Income" unless it is desired to have such payments counted toward total income.

Section 2. Notes Payable to Banks and Others (Use attachments if necessary. Each attachment must be identified as a part of this statement and signed.)

Name and Address of Noteholder(s)	Original Balance	Current Balance	Payment Amount	Frequency (monthly,etc.)	How Secured or Endorsed Type of Collateral

PERSONAL NET WORTH STATEMENT

CR-0003

Section 3. Stocks and Bonds					
NUMBER OF SHARES	NAME OF SECURITIES	COST	MARKET VALUE QUOTATION/EXCHANGE	DATE OF QUOTATION/EXCHANGE	TOTAL VALUE

Section 4. Real Estate (List each parcel separately. Use attachment if necessary. Each attachment must be identified as a part of this statement and signed).			
	Property A (Primary Residence)	Property B	Property C
Type of Property			
Address			
Date Purchased			
Original Cost			
Present Market Value			
Name & Address of Mortgage holder			
Mortgage Account Number			
Current Mortgage Balance			
Amount of Payment per Month/Year			
Status of Mortgage			

Section 5. Other Assets and Personal Property	(Describe, and if any is pledged as security, state name and address of lien holder, amount of lien, terms of payment and if delinquent, describe delinquency)

Section 6. Unpaid Taxes.	(Describe in detail, as to type, to whom payable, when due, amount, and to what property, if any, a tax lien attaches.)

Section 7. Other Liabilities and Exclusions	(Describe in detail.)

Section 8. Life Insurance Held.	(Give face amount and cash surrender value of policies - name of insurance company and beneficiaries)

SIGNATURE	DATE	SOCIAL SECURITY NUMBER
SIGNATURE	DATE	SOCIAL SECURITY NUMBER

PLEASE NOTE: The estimated average hours for the completion of this form is 1.5 hours per response.

AFFIDAVIT OF PERSONAL NET WORTH

The new Federal Regulations 49 CFR Part 26.67(2)(i) "require each individual owner of a firm applying to participate as a DBE whose ownership and control are relied upon for DBE certification to submit a signed, notarized statement of Personal Net Worth (PNW), with appropriate supporting documentation." Appropriate supporting documentation generally includes but is not limited to "Personal Income Taxes" and other documents required to support statements contained in the "Personal Net Worth Statement." In addition, Grant Deeds, Prenuptial Agreements or other documents may be needed to directly or indirectly support your statement of personal net worth. Please be advised that a contingent liability does not reduce an individual's net worth.

My Personal Net Worth is Valued at: \$ _____

Affidavit

The undersigned swears, under penalty of perjury of the laws of the United States, that the foregoing statement is correct and true and includes all material information necessary to identify and explain the personal net worth of each owner of this firm. The undersigned also swears, under penalty of perjury of the laws of the United States, that he or she **is in fact socially and economically disadvantaged** and that the applicant has **halved** all assets and liabilities, **except** his or her ownership interest in the firm, if he or she resides in a community property state. **Further, the undersigned agrees** to permit the audit and examination of your personal and business records and files to verify the accuracy of the statements made. Any material misrepresentation will be grounds for terminating any contract which has or may be awarded and for prosecution under federal and state laws concerning false statements.

PRINTED NAME	SIGNATURE
TITLE	DATE
FIRM NAME	CALTRANS CT# IF AVAILABLE

NOTARY

The forgoing affidavit was subscribed and sworn to before me on this _____ day of _____, _____ by _____.

SEAL

NOTARY PUBLIC
COMMISSION EXPIRES

CALTRANS PERSONAL NET WORTH STATEMENT FORM - INSTRUCTIONS

CR-0003 INSTRUCTIONS

This form must be completed by the following individuals:

Each socially and economically disadvantaged owner who individually owns or contributes to an ownership interest of 51 or more percent in the firm; and whose ownership and control is relied upon for DBE certification.

If an individual is married, please note the following:

If you reside in a community property state, all assets and liabilities, **except** the ownership interest in the firm, should be halved accordingly on the form, unless there is a separate property agreement that stipulates sole ownership by one individual.

FOR EXAMPLE: John and Mary Smith jointly own their primary residence valued at \$100,000. They each claim 50% ownership on the property. John Smith would only report his 50% interest, \$50,000, on his Personal Net Worth Statement.

If you do not reside in a community property state, assets and liabilities may be halved if jointly owned. If assets and liabilities are separately owned, these items should only be reported on the respective owner's form.

The preceding does not address each item on the form; however, we have identified certain items on the form that you should pay special attention to since these items are commonly reported inaccurately or misrepresented.

Note: Please be advised that federal recipients, such as Caltrans, must exclude an individual's ownership interest in his or her firm and the individual's equity in his or her primary residence. However, you must provide Caltrans with the dollar amount being excluded as your ownership interest in the firm and documentation sufficient to support that exclusion. Caltrans will assume, unless advised otherwise, that the equity in your primary residence is the difference between its present market value and current mortgage balance as reported by you in **Section 4, Property A (Primary Residence)** on the form.

CALTRANS PERSONAL NET WORTH STATEMENT FORM - INSTRUCTIONS

CR-0003 INSTRUCTIONS

ASSETS**Cash on-hand & in banks:**

Enter the total amount of cash on-hand and in your checking accounts.

Savings Account:

Enter the total amount of cash in all savings accounts.

IRA or other Retirement Accounts:

Enter the total value of all IRAs and other retirement accounts, including any Deferred Compensation and Pension Plans. You may be requested by Caltrans to provide copies of the most recent statements to substantiate the amount listed.

Accounts & Notes Receivable:

Enter the total value of all monies owed to you personally, if any. This should include shareholder loans to the applicant firm.

Life Insurance:

Enter only the cash surrender value of any life insurance policies. **A complete description is required in Section 3.

Real Estate:

Enter the current fair market value of all real estate owned. **A complete listing and description of all real estate owned is required in Section 4.

Automobile:

Enter the current fair market value of all automobiles owned.

Other Personal Property:

Enter the current fair market value of all other personal property owned but not included in any of the previous sections (i.e. furniture, jewelry, etc.). **A complete description of these assets is required in Section 5.

Ownership Interest in Firm:

Enter the current fair market value of your portion of the ownership interest/equity in the business on this line (e.g., if your sole proprietorship is worth \$40,000, this entire amount should be indicated).

Other Assets:

Enter the current fair market value of all other assets owned, but not included in the previous sections. **A complete description of these assets is required in Section 5.

Total:

Calculate the total value of all listed assets.

CALTRANS PERSONAL NET WORTH STATEMENT FORM - INSTRUCTIONS

CR-0003 INSTRUCTIONS

LIABILITIES**Accounts Payable:**

Enter the total value of all unpaid accounts payable that is your responsibility (i.e. gas, electric, telephone bills, etc.).

Notes Payable to Bank & Others:

Enter the total amount due on all Notes Payable to Banks and others paid on an installment basis. Please be sure to include the total monthly payment amount in the space provided. This should include the amount of any loans from the applicant firm. This should not, however, include any mortgage balances. **A complete description of all installment accounts is required in Section 2.

Loans on Life Insurance:

Enter the total value of all loans due on Life Insurance Policies. **A complete description is required in Section 8.

Mortgages on Real Estate:

Enter the total value due on all mortgage(s) payable on Real Estate. **A complete breakdown of all mortgage(s) on Real Estate is required in Section 4.

Unpaid Taxes:

Enter the total amount of all taxes which are currently due but are unpaid. Contingent tax liabilities or anticipated taxes for the current year should not be included. **A complete description is required in Section 6.

Other Liabilities:

Enter the total value due on all other liabilities not classified in the previous sections. **A complete description is required in Section 7.

Ownership Interest in Firm:

Enter the current fair market value of your portion of the ownership interest/equity in the business on this line (e.g., if your sole proprietorship is worth \$40,000, this entire amount should be indicated).

Equity in Primary Residence:

Enter the difference between the present market value of your primary residence and your current mortgage balance.

Total Liabilities:

Calculate the total of all listed liabilities.

Net Worth:

Calculate your net worth and enter the amount on the "Affidavit of Personal Net Worth." This is calculated by subtracting your "Total Liabilities" from your "Total Assets."

$$\begin{array}{rcl}
 & + & \text{Total Assets} \\
 & - & \text{Total Liabilities} \\
 \hline
 & = & \text{Net Worth*}
 \end{array}$$

* Indicate negative net worth with parenthesis ().

Total:

Add the values entered for "Total Liabilities" and "Net Worth." This amount must equal the total value of all assets.

$$\begin{array}{rcl}
 & + & \text{Total Liabilities} \\
 & + & \text{Net Worth} \\
 \hline
 & = & \text{Total Assets}
 \end{array}$$

CALTRANS PERSONAL NET WORTH STATEMENT FORM - INSTRUCTIONS

CR-0003 INSTRUCTIONS

SECTION 1. SOURCE OF INCOME**Salary:**

Enter the amount of your total annual salary. This should include any salary from the applicant firm and if applicable, any salary from outside employment.

Net Investment Income:

Enter the total amount of all investment income (i.e. dividends, interest, etc.).

Real Estate Income:

Enter the total amount of all real estate income received from the sale, rental, lease, etc. of real estate held.

Other Income:

Enter the total amount of all other income received (i.e. alimony, Social Security, Pension, etc.) Please be sure to describe the source of the other income in the space provided below this section.

CONTINGENT LIABILITIES**As Endorser or Co-Maker:**

Enter the total potential liabilities due as a result of being a co-signer for a loan or other commitments.

Legal Claims & Judgements:

Enter the total potential liabilities due as a result of legal claims from judgements, lawsuits, etc.

Provisions for Federal Income Tax:

Enter the total amount of all Federal taxes for which you are potentially liable due to an anticipated gain on the pending sale of an asset or other circumstances, such as pending disputes or litigation which could possibly result in a personal tax liability.

Other Special Debt:

Enter the total amount due on all remaining potential debts not accounted for.

SECTION 2. NOTES PAYABLE TO BANKS AND OTHERS

Enter the name and address of noteholder(s), original balance, current balance, payment amount, frequency, and how secured for each note payable as entered in the "**LIABILITIES**" column.

SECTION 3. STOCKS AND BONDS

Enter the number of public shares, name of securities, cost, fair market value, and the date of fair market value for all public shares of stock and bonds held.

NOTE: Do not include your membership interest in the firm/business in this section.

CALTRANS PERSONAL NET WORTH STATEMENT FORM - INSTRUCTIONS

CR-0003 INSTRUCTIONS

SECTION 4. REAL ESTATE OWNED

Starting with your primary residence, enter the type of property, address, date purchased, original cost, present fair market value, name and address of mortgage holder, mortgage account number, mortgage balance, amount of payment, and status of mortgage for all real estate held. Second mortgages also should be included in this section. Please ensure that this section contains all real estate owned, including rental properties, commercial properties, etc.

These values should correspond with the "Real Estate" amount listed in the "ASSETS" column.

SECTION 5. OTHER PERSONAL PROPERTY

Describe the "Other Personal Property" and "Other Assets" owned as listed in the "ASSETS" column.

SECTION 6. UNPAID TAXES

Describe in detail, as to the type, to whom payable, when due, amount, and to what property, if any, the tax lien attaches. Please refer to the unpaid taxes listed in the "LIABILITIES" column. If none, state NONE. This section should not include contingent tax liabilities or anticipated taxes owed for the current year.

SECTION 7. OTHER LIABILITIES

Describe in detail all other liabilities as referenced by the value listed in the "LIABILITIES" column. If none, state NONE.

SECTION 8. LIFE INSURANCE HELD

Describe all life insurance policies held. Please be sure to include the face amount of the policies, name of insurance company, beneficiaries and the cash surrender values of the policies.

FINALLY, PLEASE BE SURE TO SIGN AND DATE THE PERSONAL FINANCIAL STATEMENT, AND INDICATE YOUR SOCIAL SECURITY NUMBER IN THE SPACE PROVIDED.

DEPARTMENT OF TRANSPORTATION

CIVIL RIGHTS PROGRAM - MS 79
1820 ALHAMBRA BOULEVARD
SACRAMENTO, CALIFORNIA 95816
(916) 227-9599



Dear Contractor:

You recently expressed interest in obtaining information about certified disadvantaged businesses needed to allow you to meet the State and Federal goals set for your project. A listing of these businesses is available from the certifying agencies. Caltrans will not solicit subcontractors for you. It is up to you to contact the individual subcontractor concerning availability and bid proposal.

The Disadvantaged Business Enterprise (DBE), Minority Business Enterprise (MBE), and Women-Owned Business Enterprise (WBE) programs are administered by the California Department of Transportation (Caltrans), Civil Rights Program. The Disabled Veteran's Business Enterprise (DVBE) program is administered by the Department of General Services, Office of Small and Minority Business.

Please contact these departments at the phone numbers listed below for ordering information. The Caltrans Publication for DBE/MBE/WBE is available at a cost of \$45.00 for quarterly listings and \$20.00 for a single copy. The DVBE listing is available at no cost.

DBE/MBE/WBE LISTING

Caltrans
Publications Unit
1900 Royal Oaks Drive
Sacramento, CA 95815
(916)445-3520

DVBE LISTING

Department of General Services
Office of Small Business Certification and Resources
1531 I Street, Second Floor
Sacramento, CA 95814-2016
(916)322-5060

If you have a computer and a modem, it may be possible for you to connect with a Bulletin Board System containing an electronic list of DBE/MBE/WBEs currently certified by Caltrans.

If interested contact, Civil Rights Program, Systems Support Unit (916) 227-8937.

If you require further assistance, please contact Caltrans, Civil Rights Program at (916) 227-9599.

Sincerely,

ALGERINE McCRAY
Deputy Director
Civil Rights Program

DEPARTMENT OF TRANSPORTATION

CIVIL RIGHTS PROGRAM - MS 79
1820 ALHAMBRA BOULEVARD
SACRAMENTO, CALIFORNIA 95816
(916) 227-9599



May 29, 1998

Notification of Current Consultants
for DBE Supportive Services

Dear Contractor:

Listed below are the addresses, telephone numbers, and contact persons at the offices of Triaxial Management Services, Inc., the Consultant currently under contract with Caltrans to provide statewide assistance to firms interested in certification as a Disadvantaged Business Enterprise (DBE). These offices also provide assistance for participation on Federally funded Caltrans contracts with DBE goals.

NORTHERN CALIFORNIA

Oakland

1545 Willow Street, 1st Floor
Oakland, CA 94607
(510) 286- 1313
(510) 286-6792 FAX
Chauncey L. Murdock

Sacramento

930 Alhambra Boulevard #205
Sacramento, CA 95816
(916) 553-4172
(916) 553-4173 FAX
Mary Williams

SOUTHERN CALIFORNIA

Los Angeles

2594 Industry Way, Suite 101
Lynwood, CA 90262
(310) 537-6677
(310) 637-0128 FAX
Nathan Essandoh

San Diego

2725 Congress Street, Suite 1-D
San Diego, CA 92110
(619) 543-5109
(619) 543-5108 FAX
DeMarcus Sharpe

Sincerely,

ALGERINE McCRAY
Deputy Director
Civil Rights Program